

On Exponential Sums with Sparse Polynomials and Rational Functions

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INTRODUCTION

In this paper we obtain new upper bounds for exponential sums with polynomials of the form

$$f(x) = a_1 x^{r_1} + \cdots + a_t x^{r_t} \quad (1)$$

where r_1, \dots, r_t are some pairwise distinct non zero integers.

Throughout the paper:

$$r = \max\{|r_1|, \dots, |r_t|\};$$

(l_1, \dots, l_m) denotes the greatest common divisor of l_1, \dots, l_m ;

for p prime, $\text{ord}_p a$ denotes the p -adic order of a .

In the first part we consider rational exponential sums,

$$S(f, q) = \sum_{\substack{x=1 \\ (x, q)=1}}^q \exp [2\pi i f(x)/q]$$

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where q is integer, and prove that if $(a_1, \dots, a_t, q) = 1$ then

$$S(f, q) = O(q^{1-1/t+\varepsilon}) \quad (2)$$

where the implied constant depends on r and an arbitrary $\varepsilon > 0$ only.

In the particular case when $q = p^\alpha$ is a power of a fixed prime number $p \geq 3$ (i.e. when the implied constant may depend on p), this bound is a direct consequence of the proved in [5] bound for exponential sums with linear recurrence sequences.

More precisely, let $U = \{u(z)\}_{z=1}^\infty$ be a non zero linear recurrence sequence of integers satisfying the following relation

$$u(z+t) = c_1 u(z+t-1) + \dots + c_t u(z), \quad z = 1, 2, \dots,$$

of order t . Let $\lambda_1, \dots, \lambda_t$ be the roots of the characteristic polynomial

$$\psi(\lambda) = \lambda^t - c_1 \lambda^{t-1} - \dots - c_t \in \mathbb{Z}[\lambda].$$

If among λ_i and λ_i/λ_j , $1 \leq i, j \leq t$, $i \neq j$, there is no root of unity then

$$\sum_{z=1}^{\tau_\alpha} \exp [2\pi i u(z)/p^\alpha] \leq C(U, p, \varepsilon) \tau_\alpha^{1-1/t+\varepsilon}$$

where τ_α is the period U modulo p^α , and the constant $C(U, p, \varepsilon)$ depends on the sequence U , prime $p \geq 3$ and an arbitrary $\varepsilon > 0$.

Perhaps the same estimate can be proved for $p=2$ as well. Moreover, using some results of [4] one can get it with $\varepsilon=0$ (see also the remark after Theorem 1).

Substituting $x = g^z$ where g is a primitive root modulo p^2 (any thus modulo any power of $p \geq 3$) the sum $S(f, q)$ can be reduced to a sum with a linear recurrence sequence of order t and the above mentioned bound implies (2) for $q = p^\alpha$ with $p \geq 3$ fixed.

Here we use a modification of the method of [5] which allows us to prove (2) for any q .

We note that even in the most popular case of $r_1 = 1, \dots, r_t = t$ (thus $r = t$) nothing essentially better than (2) is known (see [2, 3] for details). Of course we can apply the corresponding bound (at least if all r_1, \dots, r_t are positive) to our case as well but it gives only

$$S(f, q) = O(q^{1-1/r+\varepsilon}).$$

In the second part we consider sums

$$T_m(f) = \sum_{x \in \mathbb{F}_{2^m}} \chi(f(x))$$

where χ is a non trivial additive character of \mathbb{F}_{2^m} , a field of 2^m elements.

For such sums, we have the following very deep and strong Weil bound

$$T_m(f) \leq r 2^{m/2}$$

(see [3] and [10] for this and many other related results). However, our bound is better if r large enough (in particular, when $r \geq 2^{m/2}$, the Weil bound gives nothing but ours is still non trivial).

The proposed method is a generalization of those of the papers [6–9] devoted to estimating Gaussian sums (i.e. to the case $t=1$) and parameters of cyclic linear codes. it can be easily extended to arbitrary finite fields of fixed characteristic.

The obtained upper bound is non trivial for a wide range of parameters and provides a new asymptotic formula for the number of solutions of the system of equations

$$x_1^{r_i} + \dots + x_k^{r_i} = A_i, \quad i = 1, \dots, t; \quad x_1, \dots, x_k \in \mathbb{F}_{2^m}. \quad (3)$$

For instance, we derive an upper bound for $k(r_1, \dots, r_t; m)$, that is the smallest k such that the system (3) is solvable for any $A_1, \dots, A_t \in \mathbb{F}_{2^m}$. This result can be reformulated as a result on the covering radius of certain cyclic linear codes (see [1]).

1. RATIONAL EXPONENTIAL SUMS

In this section all implied constants depends on r and an arbitrary $\varepsilon > 0$ only. Denote by $\Delta(r_1, \dots, r_t)$ the following determinant

$$\Delta(r_1, \dots, r_t) = \det \begin{pmatrix} \binom{r_1}{1}, & \dots, & \binom{r_t}{1} \\ \dots, & \dots, & \dots \\ \binom{r_1}{t}, & \dots, & \binom{r_t}{t} \end{pmatrix},$$

where for integers $m \geq 0$ and k we set

$$\binom{k}{m} = \frac{k(k-1) \dots (k-m+1)}{m!}.$$

LEMMA 1. *We have*

$$0 < |\Delta(r_1, \dots, r_t)| \leq (3r)^{t(t+1)}.$$

Proof. We have

$$\binom{r_v}{i} \leq (r+t)^i \leq (3r)^i, \quad 1 \leq i, v \leq t,$$

thus

$$|\Delta(r_1, \dots, r_t)| \leq t!(3r)^{t(t+1)/2} \leq (3rt)^{t(t+1)/2} \leq (6r^2)^{t(t+1)/2} \leq (3r)^{t(t+1)}.$$

Now we show that

$$\Delta(r_1, \dots, r_t) \neq 0.$$

Indeed, otherwise there exist some integers c_1, \dots, c_t , not all equal to zero and such that

$$\sum_{i=1}^t \frac{c_i}{i!} \prod_{j=1}^i (r_v - j + 1) = 0, \quad 1 \leq v \leq t.$$

Then the polynomial

$$R(x) = \sum_{i=1}^t \frac{c_i}{i!} \prod_{j=1}^i (x - j + 1)$$

is of degree $\deg R \leq t < p$ and has at least $t+1$ distinct roots $0, r_1, \dots, r_t$. Thus it must be identical to zero that contradicts to the assumption that c_1, \dots, c_t are not all equal to zero. ■

It is clear that one can get a much sharper bound of $|\Delta(r_1, \dots, r_t)|$ (it would really make sense in case we were going to evaluate the implied constants explicitly).

Let us define the following differential operators

$$D = \left(\frac{d}{dx} \right), \quad D_v = (v!)^{-1}, \quad v = 0, 1, \dots$$

LEMMA 2. Let p be a prime with $(p, a_1, \dots, a_t) = 1$, then for $(x, p) = 1$,

$$\text{ord}_p(D_1 f(x), \dots, D_t f(x)) \leq \text{ord}_p \Delta(r_1, \dots, r_t)$$

Proof. We set

$$\theta = \text{ord}_p(D_1 f(x), \dots, D_t f(x)).$$

Then we have

$$a_1 \binom{r_1}{v} x^{r_1-v} + \cdots + a_t \binom{r_t}{v} x^{r_t-v} \equiv 0 \pmod{p^\theta}, \quad v = 1, \dots, t.$$

Multiplying the v -th congruence by x^v we obtain the system of congruences

$$\xi_1 \binom{r_1}{v} + \cdots + \xi_t \binom{r_t}{v} \equiv 0 \pmod{p^\theta}, \quad v = 1, \dots, t$$

which has a non zero modulo p solution, namely $\xi_1 = a_1 x^{r_1}, \dots, \xi_t = a_t x^{r_t}$. Therefore the determinant $\Delta(r_1, \dots, r_t)$ of the system is divisible by p^θ . ■

LEMMA 3. Let integer positive α, β, m satisfying the inequalities

$$\beta m < \alpha \leq \beta(m+1).$$

Then for any integer x and y with $(x, p) = 1$ we have

$$f(x + p^\beta y) \equiv \sum_{v=0}^m p^{\beta v} y^v D_v f(x) \pmod{p^\alpha}.$$

Proof. Define integers s_i from the following conditions

$$r_i \equiv s_i \pmod{p^{\alpha-1}(p-1)}, \quad 0 \leq s_i \leq p^{\alpha-1}(p-1)$$

and define

$$F(x) = a_1 x^{s_1} + \cdots + a_t x^{s_t}.$$

It is evident that $f(x) \equiv F(x) \pmod{p^\alpha}$ and

$$D_v f(x) \equiv D_v F(x) \pmod{p^{\alpha-1}}, \quad v = 1, 2, \dots,$$

for $(x, p) = 1$. Let $s = \max\{s_1, \dots, s_t\}$ be the degree of F . Then

$$\begin{aligned} f(x + p^\beta y) &\equiv F(x + p^\beta y) \equiv \sum_{v=0}^s p^{\beta v} y^v D_v F(x) \\ &\equiv \sum_{v=0}^m p^{\beta v} y^v D_v F(x) \equiv \sum_{v=0}^m p^{\beta v} y^v D_v f(x) \pmod{p^\alpha} \end{aligned}$$

and the lemma is proved. ■

LEMMA 4. Let p be a prime and let

$$F(y) = p^\gamma H(y) y^{h+1} + G(y)$$

where $H(y), G(y) \in \mathbb{Z}[y]$, γ and h are integer positive with

$$\gamma > \log h / \log p.$$

Assume that at least one coefficient of $G(y)$ is not divisible by p , then for any $\mu \geq 1$ if $h \geq 2$ and for any $\mu \geq 2$ if $h = 1$ the bound

$$\left| \sum_{y=1}^{p^\mu} \exp [2\pi i F(y)/p^\mu] \right| \leq 2h^{5/2} p^{\mu(1-1/h)}$$

holds.

Proof. This is Corollary of Lemma 1.2 of [4]. ■

LEMMA 5. Let p be a prime with $(p, a_1, \dots, a_t) = 1$ and let $t \geq 2$. Then for any integer $\alpha > 0$,

$$S(f, p^\alpha) = O(p^{\alpha(1-1/t+\varepsilon)}).$$

Proof. Set $\rho = \text{ord}_p \Delta(r_1, \dots, r_t)$. It follows from Lemma 1 that

$$p^\rho \leq (3r)^{t(t+1)}. \quad (4)$$

First of all we note that for $\alpha = 1$ the bound of the lemma is weaker than the Weil bound

$$|S(f, p)| = O(p^{1/2})$$

and that for $\alpha \leq \varepsilon^{-1}(\rho + \log t / \log p)$

$$|S(f, p^\alpha)| \leq p^\alpha \leq (tp^\rho)^{\varepsilon^{-1}} \leq (t(3r)^{t(t+1)})^{\varepsilon^{-1}} = O(1).$$

Thus we may assume that

$$\alpha > \max\{1, \varepsilon^{-1}(\rho + \log t / \log p)\} \quad (5)$$

and that $\varepsilon < 1/t$. Set $\beta = \lfloor \varepsilon \alpha \rfloor + 1$ and define m from inequalities

$$\beta m < \alpha \leq \beta(m+1).$$

We have $\varepsilon\alpha < \beta < \alpha/2 + 1 \leq \alpha$ hence $1 \leq m < \varepsilon^{-1} = O(1)$. Now, from Lemma 3 we obtain

$$S(f, p^\alpha) = \sum_{\substack{x=1 \\ (x, p)=1}}^{p^\beta} \sum_{y=1}^{p^{\alpha-\beta}} \exp [2\pi i f(x + p^\beta y)/p^\alpha] = \sum_{\substack{x=1 \\ (x, p)=1}}^{p^\beta} \sigma(x) \exp [2\pi i f(x)/p^\alpha] \quad (6)$$

where

$$\sigma(x) = \sum_{y=1}^{p^{\alpha-\beta}} \exp \left[2\pi i \left(\sum_{v=1}^m p^{\beta(v-1)} y^v D_v f(x) \right) / p^{\alpha-\beta} \right].$$

We show that if $Df(x) \not\equiv 0 \pmod{p}$ then

$$\sigma(x) = O(p^{\alpha(1-1/t)-1}). \quad (7)$$

We consider three possibilities.

If $\alpha - \beta > 1$ (and therefore $\alpha \geq \beta + 2 \geq 3$) then we use Lemma 4 with $\gamma = \beta$ and $h = 1$; it gives $\sigma(x) = O(1)$ (in fact, one can easily prove that $\sigma(x) = 0$ in this case).

If $\alpha = 2$, $\beta = 1$ then $m = 1$ and $\sigma(x) = 0$.

If $\alpha - \beta = 1$ and $\alpha \geq 3$ then we use the Weil bound; it gives $\sigma(x) = O(p^{1/2})$.

In the second case there is nothing to prove. In the first and third cases, since $\alpha \geq 3$ we have $\alpha(1 - 1/t) - 1 \geq 3/2 - 1 \geq 1/2 \geq 0$ and the bound (7) follows.

Now we show that for any x with $(x, p) = 1$ the bound

$$\sigma(x) = O(p^{\alpha(1-1/t)}). \quad (8)$$

holds. If $m < t$ then $\alpha \leq \beta t$ and

$$|\sigma(x)| = p^{\alpha-\beta} \leq p^{\alpha(1-1/t)}.$$

Therefore we may assume that $m \geq t$. We define

$$\theta = \text{ord}_p(D_1 f(x), p^\beta D_2 f(x), \dots, p^{\beta(t-1)} D_t f(x)).$$

It follows from Lemma 2 that

$$\theta \leq \rho + \beta(t-1).$$

Hence, from (5) we get

$$\beta t - \theta \geq \beta - \rho > \varepsilon \alpha - \rho \geq \log t / \log p.$$

If $\theta \geq \alpha - \beta$ then, recalling that $\alpha > m\beta \geq t\beta$ and the inequality (4), we obtain

$$|\sigma(x)| \leq p^{\alpha-\beta} \leq p^\theta \leq p^{\rho+\beta(t-1)} \leq p^\rho p^{\alpha(t-1)/t} = O(p^{\alpha(1-1/t)}).$$

Finally, if $\theta < \alpha - \beta$ then we have the representation

$$\sum_{v=1}^m p^{\beta(v-1)} y^v D_v f(x) = p^\theta (p^{\beta t - \theta} H_x(y) y^{t+1} + G_x(y))$$

where the polynomial

$$F_x(y) = p^{\beta t - \theta} H_x(y) y^{t+1} + G_x(y)$$

satisfies the condition of Lemma 4 with

$$\gamma = \beta t - \theta > \log t / \log p, \quad h = t \geq 2.$$

Applying the bound of that lemma with $\mu = \alpha - \beta - \theta \geq 1$ we get

$$\sigma(x) = p^\theta \sum_{y=1}^{p^{\alpha-\beta-\theta}} \exp [2\pi i F_x(y) / p^{\alpha-\beta-\theta}] = O(p^{\theta + (\alpha-\beta-\theta)(1-1/t)}).$$

Furthermore, we have

$$\theta + (\alpha - \beta - \theta)(1 - 1/t) = \theta/t + (\alpha - \beta)(1 - 1/t) \leq \rho/t + \alpha(1 - 1/t).$$

From this inequality and from (4) we obtain (8).

Evidently, for $x = 1, \dots, p^\beta$ the congruence $Df(x) \equiv 0 \pmod{p}$ has at most $2rp^{\beta-1}$ solutions. We shall apply the estimate (8) to such x and the estimate (7) to other $x = 1, \dots, p^\beta$, $(x, p) = 1$. The contribution to (6) of sums $\sigma(x)$ over x of either kind is $p^{\beta + \alpha(1-1/t)-1}$. Taking into account that $\beta \leq \varepsilon \alpha + 1$ we obtain the assertion. ■

The following statement is Problem 11.d of Chapter 3 of [11].

LEMMA 6. *Let $q = p_1^{\alpha_1} \cdots p_s^{\alpha_s}$ be the prime number factorization of integer q . Then*

$$S(f, q) = \prod_{v=1}^s S(f_v, p_v^{\alpha_v})$$

where

$$f_v(x) \equiv q_v^{-1} f(q_v x) \pmod{p_v^{\alpha_v}}$$

and $q_v = q/p_v^{\alpha_v}$, $v = 1, \dots, s$.

THEOREM 1. *Let $q \geq 1$ and $t \geq 2$ be integer and let f be a rational function given by (1) with pairwise distinct non zero integers r_1, \dots, r_t . Assume that $(q, a_1, \dots, a_t) = 1$, then for any $\varepsilon > 0$ the bound*

$$S(f, q) = O(q^{1-1/t+\varepsilon})$$

holds.

Proof. From Lemma 5 (applied with $\varepsilon/2$ rather than with ε) and Lemma 6 we obtain that there is some constant $C > 0$ depending on ε and such that

$$S(f, q) \leq C^s q^{1-1/t+\varepsilon/2}.$$

Evidently, $s! \leq q$ thus $s = O(\log q / \log \log q)$. It implies $C^s = O(q^{\varepsilon/2})$ and the theorem follows. ■

Note that Lemma 5 perhaps can be proved with $\varepsilon = 0$ as well but it is not clear at all if it can be done for Theorem 1. To obtain such a result one has to prove that the implied constant in the bound of Lemma 5 equals 1 for sufficiently large p .

2. EXPONENTIAL SUMS OVER \mathbb{F}_{2^m}

For $0 < \lambda < 1$ let us denote by $\theta(\lambda)$ the root of the equation

$$\theta \log_2 \theta + (1 - \theta) \log_2 (1 - \theta) = -\lambda, \quad 0 < \theta < 1/2$$

(it is easy to see that this equation has a unique root for any $0 < \lambda < 1$).

Set $\gamma(\lambda) = 1 - 2\theta(\lambda)$.

THEOREM 2. *Let $0 < \alpha < 1$ be a fixed real number and let the exponents r_1, \dots, r_t satisfy*

$$r_i 2^k \not\equiv r_j \pmod{2^m - 1},$$

$1 \leq i < j \leq t$, $k = 0, 1, \dots, m$. Assume that

$$(2^m - 1, r_1, \dots, r_t) < 2^{\alpha m},$$

then for any rational function f given by (1) with $a_1, \dots, a_t \in \mathbb{F}_{2^m}^*$ the bound

$$T_m(f) < \gamma((1-\alpha)/t) 2^m + o(2^m), \quad m \rightarrow \infty,$$

holds.

Proof. It is known that any non principal additive character χ of \mathbb{F}_{2^m} can be represented in the form

$$\chi(\lambda) = (-1)^{\text{Tr}(a\lambda)}$$

with some $a \in \mathbb{F}_{2^m}^*$, where $\text{Tr}(\mu)$ is the trace of $\mu \in \mathbb{F}_{2^m}$ in \mathbb{F}_2 .

Let g be a primitive root of \mathbb{F}_{2^m} , then

$$T_m(f) = 1 + \sum_{z=1}^{2^m-1} (-1)^{u(z)}$$

where

$$u(z) = \text{Tr} \left(a \sum_{i=1}^t a_i g^{r_i z} \right).$$

We put, $b_i = aa_i$, $i = 1, \dots, t$, then

$$u(z) = \sum_{k=0}^{m-1} \sum_{i=1}^t b_i^{2^k} g^{2^k r_i z}. \quad (9)$$

Evidently, $u(x)$ is a linear recurrence sequence of order $N = mt$, which is the number of pairwise distinct exponential functions in the representation (9).

Let τ be the period of this sequence, i.e. the minimal integer positive number with $u(z + \tau) = u(z)$, $z = 1, 2, \dots$. Then from (9) we obtain

$$\sum_{k=0}^{m-1} \sum_{i=1}^t b_i^{2^k} g^{2^k r_i z} (g^{2^k r_i \tau} - 1) = 0, \quad z = 1, 2, \dots \quad (10)$$

Since the exponents $2^k r_i$, $k = 0, \dots, m-1$, $i = 1, \dots, t$, are pairwise distinct modulo $2^m - 1$, the identity (10) holds for all integer $z \geq 1$ if and only if

$$g^{2^k r_i \tau} - 1 = 0, \quad k = 0, \dots, m-1, \quad i = 1, \dots, t.$$

These equations are equivalent to

$$2^k r_i \tau \equiv 0 \pmod{2^m - 1}, \quad k = 0, \dots, m-1, \quad i = 1, \dots, t,$$

or just

$$r_i \tau \equiv 0 \pmod{2^m - 1}, \quad i = 1, \dots, t.$$

Hence

$$\tau = \frac{2^m - 1}{(2^m - 1, r_1, \dots, r_t)}.$$

The condition of the theorem infers

$$\tau \geq (2^m - 1) 2^{-\alpha m}.$$

It is easy to see that

$$T_m(f) = 1 + \frac{2^m - 1}{\tau} \sum_{z=1}^{\tau} (-1)^{u(z)} = 1 + \frac{2^m - 1}{\tau} (N_0 - N_1),$$

where N_0 and N_1 are the numbers of solutions of the equations $u(z) = 0$, $1 \leq z \leq \tau$, and $u(z) = 1$, $1 \leq z \leq \tau$, respectively.

Theorem 2 of [6] asserts that

$$N_1 \geq \theta(\log_2 \tau / N) \tau + o(\tau) = \theta((1 - \alpha)/t) \tau + o(\tau).$$

Applying the same result to the sequence $v(z) = 1 - u(z)$ we get

$$N_0 \geq \theta((1 - \alpha)/t) \tau + o(\tau).$$

Taking into account that $N_0 + N_1 = \tau$ we obtain

$$N_0 = \tau - N_1 \leq \tau - \theta(\log_2 \tau / N) \tau + o(\tau) = \tau - \theta((1 - \alpha)/t) \tau + o(\tau),$$

$$|N_0 - N_1| = |2N_0 - \tau| \leq \tau - 2\theta((1 - \alpha)/t) \tau + o(\tau)$$

and the bound follows. ■

Denote by $k(r_1, \dots, r_t; m)$ the smallest k for which the system (3) is solvable for any $A_1, \dots, A_t \in \mathbb{F}_{2^m}$.

COROLLARY. *Let $0 < \alpha < 1$ be a fixed real number and let the exponents r_1, \dots, r_t satisfy*

$$r_i 2^k \not\equiv r_j \pmod{2^m - 1},$$

$1 \leq i < j \leq t$, $k = 0, 1, \dots, m$. Assume also that

$$(2^m - 1, r_i) < 2^{\alpha m}, \quad i = 1, \dots, t.$$

Then there is a constant $C > 0$ depending on α and such that the bound

$$k(r_1, \dots, r_t; m) \leq Cmt^2 \log(t + 1)$$

holds.

Proof. It is clear that we may assume that m is large enough.

Let N be the number of solutions of the system (3). Then, using the standard arguments (as it has been done in [1], for example), for a non trivial additive character χ of \mathbb{F}_{2^m} , we obtain

$$N = 2^{-mt} \sum_{a_1, \dots, a_t \in \mathbb{F}_{2^m}} \chi(-a_1 A_1 - \dots - a_t A_t) \left(\sum_{x \in \mathbb{F}_{2^m}} \chi(a_1 x^{r_1} + \dots + a_t x^{r_t}) \right)^k.$$

Separating the term corresponding to $a_1 = \dots = a_t = 0$ and applying the bound of Theorem 2 to other terms, we get

$$N = 2^{mk - mt} + O(\gamma^k((1 - \alpha)/t) 2^{mk}).$$

From the definition of $\theta(\lambda)$, one gets $\theta(\lambda) \sim \lambda/\log_2 \lambda$ if $\lambda \rightarrow 0$. Thus there exists a constant $A > 0$ depending on α and such that

$$\gamma((1 - \alpha)/t) \leq 1 - A/t \log(t + 1).$$

Hence there are some positive constants B and C depending on α and such that for $k \geq Cmt^2 \log(t + 1) - 1$ we have

$$\gamma^k((1 - \alpha)/t) \leq (1 - A/t \log(t + 1))^k \leq \exp(-Bk/t \log(t + 1)) < 2^{-2mt}.$$

Therefore $N > 0$ for some $k \geq Cmt^2 \log(t + 1)$. ■

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